FEASIBILITY STUDY REPORT REPORTING EXEMPTION REQUEST POLICY

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TABLE OF CONTENTS

Section 1:

POLICY STATEMENT

For specific reportable state Information Technology (IT) projects, departments may request an exemption from reporting to the Department of Information Technology (DOIT) and the Department of Finance (DOF). To request an exemption from the reporting process, departments must submit to the DOIT a brief description of the project in the form of an FSR Reporting Exemption Request.

The FSR Reporting Exemption Request must be prepared in accordance with SIMM Volume II, Guideline 8.0.

The DOIT and the DOF will jointly review the request. Upon completion of the joint review, the DOIT will issue the joint decision concerning the request. The department is responsible for complying with the joint decision.

This policy is effective as of **May 1, 1998**.

1.0   PURPOSE

The DOIT and the DOF criteria for the submission of FSRs are necessarily broad and general, and may not be appropriate for a specific project. The DOIT and the DOF will consider exempting departments from reporting to the control agencies for a specific project under certain circumstances. The DOIT and the DOF will jointly review all reporting exemption requests, and will issue a joint determination concerning the reporting requirements.

1.1   OVERVIEW

For projects or activities that could be exempt from the FSR reporting process, the exemption request is a process for departments, the DOIT and the DOF to utilize in ensuring that specific departmental IT projects or activities are properly aligned with statewide IT and fiscal directions and policies, and do not necessarily require the submission of an FSR to control agencies.

1.2 OBJECTIVES

The FSR Exemption Request process is intended to achieve the following purposes:

1. Allows the DOIT to determine the appropriate approval oversight authority for certain IT activities.

2. Allows the DOIT to identify the appropriate documentation requirements.

3. Enables the control agencies to focus on technology initiatives that will be most effective in supporting mission-critical State programs.

4. Helps ensure that proposed projects are consistent with the strategic direction of both the department and the State, as well as State information technology policies and standards.

1.3 RESPONSIBILITIES & TASKS

The following are responsible for the tasks associated with this policy:

1.3.1 Department:

1. Prepare the FSR Exemption Request form in compliance with the guidelines and specified format.

2. Submit two (2) copies of the request to the DOIT.

3. Ensure that sufficient and complete requests are provided to the DOIT in a timely manner to ensure a 30-day DOIT review period.

4. Respond timely and accurately to the DOIT's and the DOF's joint questions during the DOIT/DOF review period.

5. Comply with the DOIT's final determination concerning the request.

6. Upon completion of approved project/activity, submit an IT Expenditure Report to the DOIT.[1]

1.3.2 DOIT:

1. Forward a copy of the FSR Exemption Request to the DOF.

2. Evaluate the FSR Exemption Request jointly with the DOF to determine whether or not the department should proceed with submitting the FSR for the proposed project/activity.

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[1] The format for the Expenditure Report will be available by June, 1998.

3. Request clarification from the department on the FSR Exemption Request when specific areas of the FSR Exemption Request do not meet state policy, the FSR Exemption Request guidelines, and/or additional information is needed.

4. Meet the 30-day timeframe specified for issuing a determination to the department and the DOF.

5. Issue a determination from the DOIT and the DOF to either approve or deny the request for exemption from further FSR reporting to control agencies.

1.3.3 DOF:

1. Evaluate the FSR Exemption Request jointly with the DOIT to determine whether or not the department should proceed with submitting the FSR for the proposed project/activity.

2. Request clarification from the department on the FSR Exemption Request when specific areas of the FSR Exemption Request do not meet state fiscal policy, the FSR Exemption Request guidelines, and/or additional information is needed.

3. Respond timely with the DOIT in making the joint determination of the FSR Exemption Request.

1.4 EVIDENCE OF COMPLIANCE

1.4.1 Department:

To demonstrate compliance with this policy, the department management must:

1. Follow the FSR Exemption Request format and guidelines.

2. Submit two (2) copies of the FSR Exemption Request to the DOIT.

3. Respond timely and accurately to the DOIT and the DOF's questions.

4. Comply with the DOIT's final determination concerning further FSR reporting to control agencies.

5. Upon completion of approved project/activity, submit an IT Expenditure Report to the DOIT.[2]

1.4.2 DOIT:

To demonstrate compliance with this policy, the DOIT must:

1. Forward one copy of the FSR Exemption Request to the DOF.

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[2] The format for the Expenditure Report will be available by June, 1998.

2. Conduct and participate in a joint review of the FSR Exemption Request with the DOF.

3. Adhere to specified review timeframes.

4. Issue a final determination concerning further FSR reporting to control agencies.

1.4.3 DOF:

To demonstrate compliance with this policy, the DOF must:

1. Evaluate or review the FSR Exemption Requests that the DOIT has forwarded.

2. Participate in the joint review of the FSR Exemption Request with the DOIT.

3. Support the joint determination concerning further FSR reporting to control agencies.

1.5 REPORTING CRITERIA

Departments may submit an FSR Reporting Exemption Request to the DOIT for those State IT projects that meet one or more of the FSR reporting criteria below:

1. The estimated total development and acquisition costs exceed the DOF-established departmental cost threshold.[3]

2. The new system development or acquisition is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.[3]

3. The project involves a budget action.[3]

4. The project will acquire any microcomputer commodities and the department does not have an approved Workgroup Computing Policy (WCP).

5. The project will include the provision of electronic access to private information concerning individuals or entities by entities other than the data owner or by other entities whose access is specifically authorized by law.

6. The project will include the installation or expansion of wide area network data communication facilities or services other than those acquired through contracts administered by the Department of General Services, or a State consolidated data center as defined in the State Administrative Manual (SAM) Section 4982.

7. The project will consist of the development, acquisition or installation of technologies not currently supported by the department or not currently supported by a State consolidated data center.

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[3] Items 1 – 3 are also DOF-Reportable FSRs.

8. The project will consist of the development and/or purchase of systems to support activities as defined by the DOIT's Enterprise Systems Report.[4]

9. The project consists of an acquisition or upgrade of a multi-user central processing unit, except for previously approved projects, as defined under SAM 4819.2, or servers being used only for departmental Office Automation functions.

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[4] If it is determined that the business case or proposed solution is related to state financial accounting systems, the DOIT will forward a copy of the FSR to the DOF's CalStars unit.